

City of Rockville

ETHICS COMMISSION
111 Rockville Street
Rockville, MD 20850
240-555-1000

FINANCIAL DISCLOSURE STATEMENT - FORM #1

This form is for illustrative purposes only.

I Would Like To Be Notified If Someone Looks At My Form

Instructions:

1. Fill in the preliminary information requested in the box below. Be sure to correctly identify the reporting period. ☐
2. Upon completion of your financial disclosure statement, sign and date the lower portion of the page and make the required oath or affirmation before a notary public or other officer authorized to take oaths.

Regular Reporting Period: January 1 through December 31, **2012**
 or
 Termination Report: January 1 through _____, **2013**

PLEASE PRINT OR TYPE

FIRST NAME	INITIAL	LAST NAME
Bob		
AGENCY AFFILIATION (INCLUDE DEPARTMENT AND UNIT WHERE APPLICABLE)		
City Council		
CURRENT AGENCY ADDRESS (WHERE YOU CAN BE SENT CORRESPONDENCE)		
111 Rockville Street, Rockville, MD 20850		
CURRENT POSITION OR OFFICE HELD WITH CITY, IF ANY (OR OFFICE FOR CANDIDACY)		
Member of Rockville City Council		
E-MAIL ADDRESS		
Bob@rockvillecity.gov		

This financial disclosure statement describes all interests and related transactions and matters required to _____ of the Rockville City Code with respect to the period indicated and pertaining to the person filing the statement. The statement consists of this cover sheet, the checklist, and Schedules A through I.

I hereby make oath or affirm under the penalties of perjury that the contents of this financial disclosure statement, including the Schedules attached hereto, are complete, true and correct to the best of my knowledge, information and belief.

(SEAL) Signature of Person Filing: _____
 Date: _____
 Sworn to before me this _____ day of _____
 Signature of Notary Public: _____
 Printed/Typed Name of Notary Public: _____
 My Commission Expires: _____

Instructions:

Check the proper block to Questions A through I. Do not leave any questions unanswered. If you check "Yes" to any question by sure to complete the corresponding Schedule.

Caution: *Please read all instructions on accompanying instruction sheet including all definitions, before completing this form.*

	YES	NO
A. I held interests during reporting period in real property wherever located. (If "Yes," complete Schedule A.)	Y	
B. I held interests during reporting period in corporations, partnerships and similar entities. (If "Yes," complete Schedule B.)	Y	
C. I held interests in a non-corporate business entity which did business with the City of Rockville, other than a partnership. (If "Yes", complete Schedule C.)	Y	
D. I received gifts during reporting period from persons doing business with the City of Rockville, regulated by the City of Rockville, or registered or required to register as lobbyists. (If "Yes," complete Schedule D.)	Y	
E. I or a member of my immediate family was a partner or held an office, directorship, or salaried employment during reporting period in or with a business entity doing business with the City of Rockville. (If "Yes," complete Schedule E.)	Y	
F. I or a member of my immediate family owed debts (excluding retail credit accounts) during reporting period to persons doing business with the City of Rockville. (If "Yes," complete Schedule F.)		N
G. A member of my immediate family was employed by the City of Rockville during reporting period. (If "Yes," complete Schedule G.)	Y	
H. I or a member of my immediate family received a salary or was sole or partial owner of a business entity from which earned income was received, during the reporting period. (If "Yes," complete Schedule H.)	Y	
I. Is additional information set forth on Schedule I? (If "Yes," complete Schedule I.)	Y	

Schedule A – Real Property Interests

Do you have any interest (**as an owner or a tenant**, including interests in time shares) in real property?

☒ Yes

☐ No (Go to Schedule B)

If Yes; (Answer each question below. A separate Schedule A will be required for each property you need to disclose.)

- a. What is the address or legal description of the property? (Give Street Address, if you know it. If the property is your primary residence, you may enter the lot and block legal description instead, if you wish)

Street Address 5613 Main Street

City/State/Zip Rockville, MD 20850

- b. What is the address or legal description of the property? (Give Street Address, if you know it. If the property is your primary residence, you may enter the lot and block legal description instead, if you wish)

Street Address 13414 Elm Street

City/State/Zip New York City, NY 10453

2. What kind of property is it?

Improved (indicate whether property is residential or commercial property): (MD, Residential), (NY, Residential)

Unimproved (vacant lot): _____

3. Is the interest held directly by you or is it attributable to you? (See Paragraph E of Instructions for definition of "Attributable.")

Direct ☒ Attributable _____

4. Are you the owner or tenant?

Owner ☒ Tenant _____

5. Do you hold the interest solely or is it jointly held with another?

Solely _____ Jointly _____ Tenants by the Entirety ☒

If held jointly, or by tenants by the entirety, the name(s) of the other joint owner(s): Held jointly with spouse, Sally

6. Are there any legal conditions or encumbrances on the property? (Example: mortgages, liens, contracts, options, etc.)

☒ Yes

☐ No

If yes, what is/are the name(s) of the lender(s), creditor(s), lien holder(s), etc? Chase

7. What date was the property acquired? 1999

8. How was the property acquired? (Example: purchase, gift, inheritance, etc.)

Purchased

9. From whom was the property acquired? (Name of individual or entity from whom you purchased or inherited the property or who gifted the property to you.)

Anthony

10. What consideration was given when the property was acquired? (Dollar amount paid or, if you received the property as a gift or inherited it, the fair market value at the time you acquired your interest in the property) \$685,000

11. Have you transferred any interest in this property during the reporting period?

X Yes
 No

If Yes;

11.A. What percentage of interest did you transfer: 10 %

11.B. What consideration did you receive for the interest: \$22,490.00

11.C. To whom did you transfer the interest: Carrie (daughter)

If you have any additional interests in real property in the City of Rockville, any other state or any other country, please use additional sheet(s), if necessary, and respond to each above question for each such entry.

Schedule B – Interests in Corporations and Partnerships

Did you have any interest in any corporations, partnerships, limited liability partnerships (LLP) or limited liability companies (LLC) during the reporting period whether or not the entity did business with the City of Rockville?

☒ Yes

☐ No (Go to Schedule C)

If Yes; (Answer each question below. A separate Schedule B will be required for each interest you need to disclose.)

1. What is the name of the entity? Include the complete name of the entity, do not identify solely by trading symbol: T Rowe Price, Custodian (PRSCX, PRSGX, TRBCX)

2. Does the stock of the corporation trade on a stock exchange?

☒ Yes

☐ No

If "no," the legal address of the entity's principal office.

2903 N. Charles Street, Baltimore, MD 21201

3. Is the interest held directly by you or is it attributable to you? (See Paragraph E of Instructions for definition of "Attributable.")

Directly: ☒ Attributable: ☐

4. Do you hold the interest in your name alone, or is it held jointly?

In your name alone: ☒ Jointly: ☐

If jointly, the percentage of your interest: %

5. What is the nature of your interest and its dollar value or the number of shares? (Example: stock, notes, bonds, puts, calls, straddles, purchase options, etc.) If in a non-publicly traded entity or LLP or LLC, report the percentage of ownership.

Type: Mutual Fund shares, subject to dividend reimbursement

Dollar Value of Shares: \$155,159 or Number of Shares:

percentage of ownership: 100 %

6. Are there any legal conditions or encumbrances that apply to your interest in the entity? (Example: mortgages, liens, contracts, options, etc.)

☒ No

☐ Yes; **If yes**, name of entity holding the encumbrance:

7. Did you acquire an interest in the entity during the reporting period?

☐ Yes

☒ No (Except for dividend reimbursement)

If Yes:

7A. In what month was the interest acquired? _____

7B. How was the interest in the entity acquired? (Example: purchase, gift, will, etc.): _____

7C. From whom did you acquire the interest in the entity? (If you purchased it from a brokerage, the name of the brokerage): _____

7D. What consideration was given when the interest was acquired? (Dollar amount paid, or if you received the property as a gift or inherited it, the fair market value at the time you acquired your interest in the property): _____

8. Have you transferred any interest in this entity during the reporting period?

 x Yes
 No

If Yes:

8A. What portion of the interest was transferred? 15% in each stock

8B. What consideration did you receive for the interest in the entity? (Dollar amount paid, or if you received the property as a gift or inherited it, the fair market value and terms at the time you transferred your interest in the property): \$1,000

8C. To whom did you transfer your interest in the entity? Kelly (daughter)

If you have additional interests in corporations or partnerships, please use additional sheet(s) if necessary, and answer each of the above questions for each additional entry.

Schedule B – Interests in Corporations and Partnerships (2)

Did you have any interest in any corporations, partnerships, limited liability partnerships (LLP) or limited liability companies (LLC) during the reporting period whether or not the entity did business with the City of Rockville?

☒ Yes

☐ No (Go to Schedule C)

If Yes; (Answer each question below. A separate Schedule B will be required for each interest you need to disclose.)

1. What is the name of the entity? Include the complete name of the entity, do not identify solely by trading symbol: T Rowe Price, Custodian

2. Does the stock of the corporation trade on a stock exchange?

☒ Yes

☐ No

If "no," the legal address of the entity's principal office.

2300 S. Charles Street, Baltimore, MD 21201

3. Is the interest held directly by you or is it attributable to you? (See Paragraph E of Instructions for definition of "Attributable.")

Directly: ☒ Attributable: ☐

4. Do you hold the interest in your name alone, or is it held jointly?

In your name alone: ☒ Jointly: ☐

If jointly, the percentage of your interest: %

5. What is the nature of your interest and its dollar value or the number of shares? (Example: stock, notes, bonds, puts, calls, straddles, purchase options, etc.) If in a non-publicly traded entity or LLP or LLC, report the percentage of ownership.

Type: Stocks

- a. 80 shares of MO
- b. 35 shares of AIG
- c. 40 shares of AXP
- d. 23 shares of AMP
- e. 125 shares of AOL
- f. 800 shares of CSCO
- g. 7 shares of COLST
- h. 2,000 shares of INTC
- i. 2,000 shares of MDT

j. 11,115 TYC

Dollar Value of Shares: \$1,151,345(total value of shares) or Number of Shares: ____
percentage of ownership: ____%

6. Are there any legal conditions or encumbrances that apply to your interest in the entity?
(Example: mortgages, liens, contracts, options, etc.)

☒ No

____ Yes; **If yes**, name of entity holding the encumbrance: _____

7. Did you acquire an interest in the entity during the reporting period?

____ Yes

☒ No (Except for dividend reimbursement)

If Yes;

7A. In what month was the interest acquired? _____

7B. How was the interest in the entity acquired? (Example: purchase, gift, will,
etc.): _____

7C. From whom did you acquire the interest in the entity? (If you purchased it from a brokerage,
the name of the brokerage): _____

7D. What consideration was given when the interest was acquired? (Dollar amount paid, or if
you received the property as a gift or inherited it, the fair market value at the time you acquired your interest
in the property): _____

8. Have you transferred any interest in this entity during the reporting period?

☒ Yes

____ No

If Yes;

8A. What portion of the interest was transferred? 15% in each stock

8B. What consideration did you receive for the interest in the entity? (Dollar amount paid, or if
you received the property as a gift or inherited it, the fair market value and terms at the time you transferred
your interest in the property): \$1,000

8C. To whom did you transfer your interest in the entity? Kelly (daughter)

**If you have additional interests in corporations or partnerships, please use
additional sheet(s) if necessary, and answer each of the above questions for each
additional entry.**

6. Did you transfer any of your interest during the reporting period?

☐ Yes
☒ No

If yes:

6A. What percentage of interest, if less than all, was transferred? _____ %

6B. What consideration did you receive for the interest in the entity? (Dollar amount paid or if you received the property as a gift or inherited it, the fair market value and terms at the time you transferred your interest in the property): _____

6C. To whom did you transfer your interest in the entity? _____

If you have additional interests in sole proprietorship(s) that did business with the City of Rockville during the reporting year, please use additional sheet(s) if necessary, and answer each of the above questions for each additional entry.

During the reporting period, did you receive any gift(s), directly or indirectly, in excess of a value of \$20 or a series of gifts from the same donor with a cumulative value of \$100 or more from a person or entity who: 1) did business with the City of Rockville; 2) engaged in an activity that was regulated or controlled by the City of Rockville; or 3) was a regulated lobbyist? Gifts received from a member of the official's or employee's immediate family, another child, or a parent of the individual, do not need to be disclosed.

 No (Go to Schedule E)

1. Who gave you the gift?

Matthew

1 Oriole Ticket

\$20

C-11

Schedule D – Gifts (2)

During the reporting period, did you receive any gift(s), directly or indirectly, in excess of a value of \$20 or a series of gifts from the same donor with a cumulative value of \$100 or more from a person or entity who: 1) did business with the City of Rockville; 2) engaged in an activity that was regulated or controlled by the City of Rockville; or 3) was a regulated lobbyist? Gifts received from a member of the official's or employee's immediate family, another child, or a parent of the individual, do not need to be disclosed.

☒ Yes

☐ No (Go to Schedule E)

If Yes; (Answer each question below. A separate Schedule D will be required for each gift.)

1. Who gave you the gift?

XYZ Law Firm

2. What was the nature of the gift? (Example: book, restaurant meal, theater tickets, book, etc.)

2 Washington Wizards tickets

3. What was the value of the gift?

\$100 total

4. If the gift was given to someone else at your direction, list the identity of the recipient of the gift.

1 ticket to Joe (friend)

Please use additional sheet(s), if necessary, for any additional entries.

Schedule D – Gifts (3)

During the reporting period, did you receive any gift(s), directly or indirectly, in excess of a value of \$20 or a series of gifts from the same donor with a cumulative value of \$100 or more from a person or entity who: 1) did business with the City of Rockville; 2) engaged in an activity that was regulated or controlled by the City of Rockville; or 3) was a regulated lobbyist? Gifts received from a member of the official's or employee's immediate family, another child, or a parent of the individual, do not need to be disclosed.

☒ Yes
☐ No (Go to Schedule E)

If Yes; (Answer each question below. A separate Schedule D will be required for each gift.)

1. Who gave you the gift?

ABC Real Estate Firm

2. What was the nature of the gift? (Example: book, restaurant meal, theater tickets, book, etc.)

4 tickets to Lion King

3. What was the value of the gift?

\$349 total

4. If the gift was given to someone else at your direction, list the identity of the recipient of the gift.

Sally (wife) and Kelly, Carrie, and Bob, Jr. (children)

Please use additional sheet(s), if necessary, for any additional entries.

Schedule E – Officers, Directorships, Salaried Employment and Similar Interests

During the reporting period, did you or any member of your immediate family (spouse or dependent child) have any salaried employment or hold any office or directorship with an entity that did business with the City of Rockville?

☒ Yes

☐ No

If Yes; (Answer each question below. A separate Schedule E will be required for each disclosure.)

1. What is the name and address of the business entity?

Name: Brooks Tire & Auto Center

Address: 11223 Fir Drive

City/State/Zip: Rockville, MD 20850

2. Who was the individual who held the position or interest listed above? (Example: yourself, spouse, dependent child)

Self: _____ Spouse: ☒ Dependent child: _____

2A. Name of spouse or dependent child: Sally

3. What is the title of the office you, your spouse or dependent child held? (Example: limited partner, director, treasurer, chair of the board of trustees, etc.) Owner

4. What year did the position begin? 1999

5. With what City Agency(ies) did the business entity do business? _____

Public Works

6. What was the nature of the business? (Example: regulated by your agency, registered under the lobbying law, or involved with sales and contracts with the City of Rockville)

Selling tires through a contract with the City) _____

If necessary, please use additional sheet(s) for any additional entries.

Schedule F – Debts You Owe

During the reporting period, did you owe a debt (excluding a retail credit account) to a financial entity that did business with the City of Rockville? **[NOTE: If, on Schedule A, B or C you listed a financial entity that did business with the City of Rockville as the holder of your mortgage or other encumbrance, you must complete Schedule F with regard to that indebtedness.]**

☒ Yes
☐ No (Go to Schedule G)

If Yes; (Answer each question below. A separate Schedule F will be required for each debt to be disclosed.)

1. To whom did you owe the debt? (Do not include consumer credit debts)

Chase Home Loans

2. When was the debt incurred? 1999

3. What are the interest rate and terms of payment of the debt?

Interest Rate 6.5%

Terms (monthly, bimonthly, annually, etc): Monthly

4. What was the amount of the debt as of the end of the reporting period. If debt existed during the reporting period but was paid in full at the end of the period, put \$0.

\$ 364,747

5. Did the principal of the debt increase or decrease x during the reporting period, and by how much? \$ 7,254

6. Was any security given for the debt?

☒ Yes
☐ No

If Yes; Please state what type of security was given (home, car, boat, etc):

Home

7. If this is a transaction in which you were involved, but which resulted in a debt being owed by your spouse or dependent child, identify your spouse or child and describe the transaction. Wife, Sally is co-signor to loan

If necessary, please use additional sheet(s) for any additional entries.

What was the title of your immediate family member's position in the City of Rockville during the reporting period? Manager of Rockville City Library

If necessary, please use additional sheet(s) for any additional entries.

 x Yes
 No (Go to Schedule H)

1. What is the relation and name of the immediate family member employed by the City of Rockville? Kelly (daughter)
2. What is the name of the agency that employed the member of your immediate family? Rockville City Library
3. What was the title of your immediate family member's position in the City agency during the reporting period? Manager of Rockville City Library

Schedule H – Employment/Business Ownership

During the reporting period, did you or any member of your immediate family, receive any earned income from an entity other than the City of Rockville? Please note that your dependent child's employment or business ownership does not need to be disclosed unless the place of employment or the business entity is subject to regulation or the authority of the City.

☒ Yes
☐ No (Go to Schedule I)

If Yes; (Answer each question below. A separate Schedule H will be required for each member of the immediate family who had employment or ownership of a business entity.)

1. If, during the reporting period, you or a member of your immediate family had employment from which you or they earned income, list the relation, name, and address of the employment.

Name: Bob

Relationship: Self

Name of Employer: Bob's Asphalt and Paving

Address: 6630 Oak Street

City/State/Zip: Rockville, MD 20850

Name: Sally

Relationship: Wife

Name of Employer: Brooks Tire and Auto Center

Address: 11223 Fir Drive

City/State/Zip: Rockville, MD 20850

2. If, during the reporting period, you or a member of your immediate family wholly or partially owned any business entity from which income was earned, list the relation, name and address of the business entity.

Name: Bob

Relationship: Self

Name of Employer: Bob's Asphalt and Paving

Address: 6630 Oak Street

City/State/Zip: Rockville, MD 20850

Name: Sally

Relationship: Wife

Name of Employer: Brooks Tire and Auto Center

Address: 11223 Fir Drive

City/State/Zip: Rockville, MD 20850

If necessary, please use additional sheet(s) for any additional entries.

SAMPLE

Schedule I – Other

Is there any additional information or interest you would like to disclose?

1. Spouse, Sally, serves as volunteer Boardmember at the Maryland Zoo.
2. Sibling, Greg, owns interest in partnership (Popovich LLC) that owns real property in Montgomery County, including in the City of Rockville.
3. Spouse's second cousin is police officer with City of Rockville

SAMPLE